



## State of New Jersey

OFFICE OF THE ATTORNEY GENERAL  
DEPARTMENT OF LAW AND PUBLIC SAFETY  
DIVISION OF CONSUMER AFFAIRS  
BUREAU OF SECURITIES  
153 HALSEY STREET, 6TH FLOOR, NEWARK NJ

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### AGENT OF THE ISSUER REGISTRATION INSTRUCTIONS

The New Jersey Bureau of Securities registers issuer agents. An issuer agent conducts transactions exclusively in the securities of the business entity which employs such agent. An issuer agent is thus distinguished from a broker-dealer agent, who conducts transactions in the securities of any business entity.

**Statutory Provisions.** N.J.S.A. 49:3-49(b), N.J.S.A. 49:3-56, N.J.S.A. 49:3-57.

**Regulatory Provisions.** N.J.A.C. 13:47A-3.3, N.J.A.C. 13:47A-4.2, N.J.A.C. 13:47A-4.3.

**Application.** An issuer agent application consists of four items: (1) Form U-2, (2) Form U-4, (3) a fingerprint card, and (4) a fee check.

**Fee.** The fee is \$30.00 per application, payable to New Jersey Bureau of Securities. The check need not be certified.

**Employment Status.** An issuer agent must be a bona fide salaried employee of the issuer. An issuer agent may not be compensated wholly or partially by commissions.

**Examination Requirement.** An issuer agent must have passed the Series 7 (General Securities Representative) examination.

**Examination Waivers.** Examination waivers are routinely granted to applicants having at least two consecutive years of securities-related experience immediately prior to the date of application and who do not have a history of regulatory problems. Applicants wishing to sell exempt transactions under N.J.S.A. 49:3-50 may demonstrate specific knowledge of the issuer in lieu of work experience with appropriate certifications specified in N.J.A.C. 13:47A-4.3. To request an examination waiver, file Form NJBOS-15 with the Bureau.

**Duration and Renewal.** Registrations expire on December 31. Renewal forms will be mailed to all active agents in October of each year.

**Related Issuers.** If an agent represents a group of related issuers, the agent need only file one Issuer Agent application with the Bureau.

**Additional Information.** For additional information, please call (973) 504-3661.

Form NJBOS-14, 7/2003